

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2018

Report Required by the Ethics
in Government Act of 1978
(5 U.S.C. app. §§ 101-111)

1. Person Reporting (last name, first, middle initial) Shields, Thomas J.	2. Court or Organization U.S. District Court, Southern District of Iowa	3. Date of Report 08/11/2020
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Magistrate Judge, full time/recall	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☒ Amended Report	6. Reporting Period 01/01/2018 to 12/31/2018
7. Chambers or Office Address 131 East 4th Street Room 220 Davenport, IA 52801		
IMPORTANT NOTES: The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information.		

I. POSITIONS. (Reporting individual only; see pp. 9-13 of filing instructions)

☒ NONE (No reportable positions.)

POSITION

NAME OF ORGANIZATION/ENTITY

1.		
2.		
3.		
4.		
5.		

II. AGREEMENTS. (Reporting individual only; see pp. 14-16 of filing instructions)

☒ NONE (No reportable agreements.)

DATE

PARTIES AND TERMS

1.	
2.	
3.	

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III. NON-INVESTMENT INCOME. *(Reporting individual and spouse; see pp. 17-24 of filing instructions.)***A. Filer's Non-Investment Income**NONE *(No reportable non-investment income.)*

DATE	SOURCE AND TYPE	INCOME (yours, not spouse's)
1.		
2.		
3.		
4.		

B. Spouse's Non-Investment Income - *If you were married during any portion of the reporting year, complete this section.**(Dollar amount not required except for honoraria.)*NONE *(No reportable non-investment income.)*

DATE	SOURCE AND TYPE
1.	
2.	
3.	
4.	

IV. REIMBURSEMENTS *— transportation, lodging, food, entertainment.**(Includes those to spouse and dependent children; see pp. 25-27 of filing instructions.)*NONE *(No reportable reimbursements.)*

SOURCE	DATES	LOCATION	PURPOSE	ITEMS PAID OR PROVIDED
1.				
2.				
3.				
4.				
5.				

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V. GIFTS. *(Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)*NONE *(No reportable gifts.)*SOURCEDESCRIPTIONVALUE

1.

2.

3.

4.

5.

VI. LIABILITIES. *(Includes those of spouse and dependent children; see pp. 32-33 of filing instructions.)*NONE *(No reportable liabilities.)*CREDITORDESCRIPTIONVALUE CODE

1.

2.

3.

4.

5.

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VII. INVESTMENTS and TRUSTS – income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
1. TBK, formerly Triumph Community Bank	A	Dividend	K	T					
2. Metropolitan Life Insurance Co. (whole life)	A	Dividend	J	T					
3. Mass Mutual Life Insurance Co. (whole life)	A	Dividend	M	T					
4. Northwest Mutual Life Insurance Co. (whole life)	A	Dividend	M	T					
5. Vanguard Keogh Plan	E	Distribution	K	T					
6. IRA Morgan Stanley: (H)									
7. EBay, Inc.	A	Dividend			Sold	12/01/18	J		
8. Goldman Sachs Group	A	Dividend			Sold	12/06/18	J		
9. United Health	A	Dividend			Sold	12/06/18	J		
10. Wells Fargo	A	Dividend	J	T					
11. PAYPAL Holdings	A	Dividend	J	T					
12. Amgen	A	Dividend	J	T					
13. Eaton Vance HI Inc.	A	Dividend	J	T					
14. Henderson European	A	Dividend	K	T					
15. Henderson International	A	Dividend	K	T					
16. Oppenheimer Value Y Fund	A	Dividend	K	T					
17. RS Value Fund	A	Dividend			Sold	12/06/18	J		

1. Income Gain Codes:	A = \$1,000 or less (See Columns B1 and D4)	B = \$1,001 - \$2,500 F = \$50,001 - \$100,000 J = \$15,000 or less (See Columns C1 and D3)	C = \$2,501 - \$5,000 G = \$100,001 - \$1,000,000 K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	D = \$5,001 - \$15,000 H1 = \$1,000,001 - \$5,000,000 L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	E = \$15,001 - \$50,000 H2 = More than \$5,000,000 M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000
2. Value Codes	N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market

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VII. INVESTMENTS and TRUSTS – income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1) Amount Code I (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)

18. Royce Premier	A	Dividend	J	T					
19. AB Global Bond ADV	B	Dividend			Sold	12/06/18	K		
20. Eaton Vance HI, Inc. Opport	B	Dividend	M	T					
21. Principal Financial Group	A	Dividend	J	T					
22. Apple, Inc.	A	Dividend	K	T					
23. Ford Motor Company	A	Dividend	J	T					
24. Goldman Sachs TR	A	Dividend			Sold	12/17/18	L		
25. Hartford Financial Services	A	Dividend	J	T					
26. Home Depot	B	Dividend	K	T					
27. MBIA	A	Dividend	J	T					
28. IShares S&P	A	Dividend	L	T					
29. Visa, Inc.	A	Dividend	K	T					
30. Lowes, Inc.	A	Dividend	J	T					
31. Bank of America Corp.	A	Dividend	J	T					
32. Facebook, Inc.	A	Dividend	J	T					
33. Facebook, Inc.	A	Dividend	J	T					
34. BP PLC ADS (BP)	B	Dividend	K	T					

1 Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2 Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3 Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

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VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)

35. Hospitality PPTYS Common	D	Distribution	K	T					
36. KKR &Coo., LLP	E	Int./Div.	K	T					
37. Southern Copper Corp.	A	Dividend	K	T					
38. Paypal Holdings, Inc. Com	A	Dividend	J	T					
39. Exxon Mobil Corp.	A	Dividend	K	T					
40. Victory Munder MDCP CR Growth	B	Dividend	L	T					
41. MSIF Global Opportunity	F	Dividend			Sold	12/17/18	L		
42. Royce Smaller-Co Growth Inv	A	Dividend	J	T					
43. Goldman Sachs	A	Dividend			Sold	12/17/18	J		
44. United Health	A	Dividend			Sold	12/04/18	J		
45. Amgen, Inc.	A	Dividend	J	T					
46. Bank of America	A	Dividend	J	T					
47. Principal Financial Group	A	Dividend	J	T					
48. Visa, Inc.	A	Distribution	J	T					
49. Morgan Chase & Co.	A	Dividend			Sold	12/04/18	J		
50. Facebook, Inc. Class A	A	Dividend	J	T					
51. Citigroup, Inc.	B	Dividend	L	T					

1 Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2 Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3 Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

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52. Duke Energy Corp.	A	Dividend	J	T					
53. Entergy Corp.	A	Dividend	J	T					
54. FirstEnergy Corp.	B	Dividend	K	T					
55. Hospitality PPTYS Tr Com	A	Dividend	J	T					
56. UGI Corporation	A	Dividend	K	T					
57. Virgin Islands Water & Power Bonds	A	Interest	J	T					
58. Texas Instruments	A	Dividend	J	T					
59. iShares China Large Cap ETF	A	Dividend	J	T					
60. American Balanced Fund	B	Dividend	K	T					
61. Goldman Sachs MLP Energy Fund	A	Interest	J	T					
62. Goldman Sachs Short Duration Taxable Fund	A	Dividend	K	T					
63. Ivy Municipal High Income Fund	A	Dividend	K	T					
64. Mainstay Cushing MLP Premier I Fund	A	Interest	K	T					
65. Travelers Companies, Inc. Common	A	Dividend	J	T					
66. Verizon Communications	A	Dividend	J	T					
67. Walt Disney Co. Holding Co.	A	Dividend	J	T					
68. Nuveen S&P	A	Dividend	J	T					

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69. S&P 500 Index Fund	A	Dividend			Sold	12/07/18	J		
70. Henderson European Focus	A	Dividend	J	T					
71. SALESFORCE .COM, Inc,	A	Dividend	J	T					
72. Vanguard FTSE Developed Markets ETF	A	Dividend			Sold	05/24/18	J		
73. Vanguard FTSE Emerging Markets ETF	A	Dividend	J	T					
74. Vanguard Intermediate Term Bond Fund ETF	A	Dividend	J	T					
75. Vanguard Long Term Bond ETF	A	Dividend	J	T					
76. Vanguard Short Term Bond ETF	A	Dividend	J	T					
77. Vanguard Scottsdale Funds	A	Dividend	J	T					
78. Vanguard Index Funds Extended Market ETF	A	Dividend			Sold	05/24/18	J		
79. Vanguard S&P 500 ETF	A	Dividend			Sold	09/19/18	K		
80. Chevron	A	Dividend			Sold	01/10/18	K		
81.									
82.									
83.									
84.									
85.									

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

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IX. CERTIFICATION.

I certify that all information given above (including information pertaining to my spouse and minor or dependent children, if any) is accurate, true, and complete to the best of my knowledge and belief, and that any information not reported was withheld because it met applicable statutory provisions permitting non-disclosure.

I further certify that earned income from outside employment and honoraria and the acceptance of gifts which have been reported are in compliance with the provisions of 5 U.S.C. app. § 501 et. seq., 5 U.S.C. § 7353, and Judicial Conference regulations.

Signature: s/ **Thomas J. Shields**

NOTE: ANY INDIVIDUAL WHO KNOWINGLY AND WILLFULLY FALSIFIES OR FAILS TO FILE THIS REPORT MAY BE SUBJECT TO CIVIL AND CRIMINAL SANCTIONS (5 U.S.C. app. § 104)

Committee on Financial Disclosure
Administrative Office of the United States Courts
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544